

Image Processing System Review Process

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AGENCY INITIATED: The certification process is initiated by an agency completing and forwarding to DARM an Image Processing System Evaluation Form as per NJAC 15:3 Subchapter 5.

DARM REVIEW: DARM personnel will review the agency's Image Processing System Evaluation Form for compliance with State standards. During this review DARM personnel will note any deficiencies in the application and communicate with the agency as to what these deficiencies are and provide the agency with guidance to correct them.

SITE VISIT: DARM Personnel will conduct a site visit to review an image processing system in production. This site visit is conducted by Records Management Bureau Chief, the Supervisor of Micrographics and Alternative Records Storage, and the Image Processing System Certification Coordinator. A preliminary site visit may be conducted earlier in the process should an agency's request it.

FINAL AGENCY APPLICATION: The agency will implement the recommendations of DARM personnel for the correction of any deficiencies noted in the review or during the site visit. This may include resubmitting an Image Processing System Evaluation Form or supplying supporting documentation. Additionally, if there is a microfilming component to the system, the agency will need to provide a sample reel of film to the Supervisor of Micrographics and Alternative Records Storage for inspection for compliance with State microfilm standards as set forth in NJAC 15:3 Subchapter 3.

DARM RECOMMENDATION TO STATE RECORDS COMMITTEE TO APPROVE: When DARM personnel are satisfied that the image processing system is in compliance with State standards they will notify the agency of DARM's intent to recommend the agency's public records image processing system for certification.

PUBLIC NOTICE: Upon receiving the aforementioned notice of DARM's intent to recommend the agency's public records image processing system for certification, the agency must post a Public Notice in accordance with the guidelines in NJAC 15:3 Subchapter 5. When DARM has received the appropriate notification that the public notice has been posted, it will request that the agency's public records image processing system be placed on the agenda of the appropriate State Records Committee meeting for consideration for certification. For further information please visit www.njarchives.org/links/imgcertification.html#pn.

STATE RECORDS COMMITTEE: At least one representative from the agency seeking certification must be present at the appropriate State Records Committee (SRC) meeting. Preferably there

should also be a representative from the agency's vendor. DARM personnel will present the SRC with a summary of the agency's application. The SRC's review of this summary typically generates some questions from its members to the agency representative(s) clarifying some aspect of the application. When the SRC has been assured that the agency's public records image processing system is in compliance with State standards it will grant certification. Sometimes the certification may be granted conditionally with certain conditions or restrictions that can be removed at a later date. A list of certified systems is located at www.njarchives.org/links/certified-systems.html.

ANNUAL REVIEW: It is incumbent upon the certified agency to communicate on a yearly basis with personnel from DARM regarding the status of their public records image processing system. This should be conducted at or around the certification anniversary date and should include documentation of any changes to system hardware or software, changes in policies & procedures, data migration plan, or disaster prevention/recovery plan, and/or any additional record series to be added to those being imaged. Should the agency embark on significant changes a complete re-certification process may have to be conducted. This typically happens when an agency has been certified to image small format documents and is looking to begin to image large format documents.

REMEMBER: ONLY AGENCIES ARE CERTIFIED NOT VENDORS. Certifications are variances to an agency's record retention schedule. A particular piece of hardware or software, or a particular vendor may be part of an image processing system solution that is certified in one agency, but not in another. That is because certification is more than just hardware and software -- it is what the agency brings to it:

- Policies & Procedures,
- Quality Control,
- Data Migration Plans, and
- Disaster Prevention/Recovery Plans